

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT :

SERIAL NO. :

EXAMINER :

FILED :

GROUP NO.:

FOR (TITLE): NOVEL MATERIAL SEPARATED FORM ECKLONIA CAVA, METHOD FOR
EXTRACTING AND PURIFYING THE SAME, AND USE THEREOF AS
ANTIOXIDANTS

VERIFIED STATEMENT AS SMALL ENTITY

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231

S I R:

The undersigned declare(s):

Exclusive rights in the above-identified invention reside in the "small entity"
defined and named below, and "small entity" fees are appropriate. Qualification as a small
entity is based upon the following:

☐

INDEPENDENT INVENTOR

An independent inventor is any inventor who:

- 1) has not assigned, granted, conveyed, or licensed, and
- 2) is under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a non-profit organization as defined in Rule 1.9.

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SMALL BUSINESS CONCERN

A small business concern is defined as a business concern:

- 1) whose number of employees, including those of its affiliates, does not exceed 500 persons, and
- 2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization as defined in Rule 1.9. Concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

☐**NONPROFIT ORGANIZATION** (Check additional applicable box)

A nonprofit organization is defined as:

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1) a university or other institution of higher education located in any country; or

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2) a organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); or

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3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of the United States (35 U.S.C. 201(i)); or

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4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3) of Rule 1.9 if it were located in the United States.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

VENTREE CO., LTD
(Print or type name of small entity)

* H. W. Lee

(Signature and title of person authorized
to act on behalf of small entity)

, President

(Date)

July 28, 2000

Seowoo-building 14, Yeoksam-dong 837-12,
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* If "small entity" is more than one inventor or a combination of "small entities", add name(s), address(es) and signature(s) of other parties below. Please include date.

Full Name of Second Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Third Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Fourth Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

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